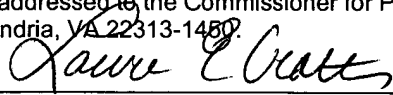| TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT<br>Under 37 CFR 1.97(b), (c), or (d) | Docket No.<br>Chao 1-77-1-14 |
|---|---|

| In re Application of: | Hung-Hsiang Jonathan Chao et al. | | |
|---|---|---|---|

| Serial No.<br>10/723,450 | Filing Date<br>11/26/03 | Examiner<br>Unknown | Group Art Unit<br>2666 |
|---|---|---|---|

Title: **DISTRIBUTED ARCHITECTURE FOR STATISTICAL OVERLOAD CONTROL AGAINST DISTRIBUTED DENIAL OF SERVICE ATTACKS**

*[Stamp: O I P E  MAR 0 5 2004  PATENT & TRADEMARK OFFICE]*

Address to:
**Commissioner for Patents**
**P.O. Box 1450**
**Alexandria, VA 22313-1450**

## 37 CFR 1.97(b)

The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

## 37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

## 37 CFR 1.97(d)

3. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

## Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)

☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))

☐ No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))

☐ The fee set forth in 37 CFR 1.17(p).

## 37 CFR §1.704(d)

4. ☐ Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

*[Signature]*                           Dated: *3/3/04*

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I certify that this document is being deposited on *3/4/04* with the U.S. Postal Service as First Class Mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**Laura E. Crater**
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| U.S. Department of Commerce, Patent and Trademark Office | Docket No. Chao 1-77-1-14 | Serial No. 10/723,450 |
|---|---|---|
| (PTO Form 1449 modified) | | |
| **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** <br><br> **LIST OF PATENTS AND PUBLICATIONS CITED BY APPLICANT** | Applicant: Chao et al. | Confirmation No.: 5965 |
| (Use several sheets if necessary) | Filing Date 11/26/03 | Group 2666 |
| Examiner  Unknown | | |

**U.S. Patent Documents**

| *Examiner Initial | | Document Number | Issue Date | Applicant(s) Name | Class | Subclass | Filing Date If Appropriate |
|---|---|---|---|---|---|---|---|
| | A1 | | | | | | |
| | A2 | | | | | | |
| | A3 | | | | | | |
| | A4 | | | | | | |
| | A5 | | | | | | |

**Foreign Patent Documents**

| *Examiner Initial | | Document Number | Date | Country | Class | Subclass | Translation YES | NO |
|---|---|---|---|---|---|---|---|---|
| | B1 | | | | | | ☐ | ☐ |
| | B2 | | | | | | ☐ | ☐ |
| | B3 | | | | | | ☐ | ☐ |

**OTHER ART**

| *Examiner Initial | | Including Author, Title, Date, Pertinent Pages, Etc. |
|---|---|---|
| | C1 | B. Babcock, S. Babu, M. Datar, R. Motwani, and J. Widom, "Models and Issues in Data Stream Systems," In *Proceedings of the 21st ACM Symposium on Principles of Database Systems,* June 2002 |
| | C2 | F. Chen, D. Lambert and J.C. Pinheiro, "Incremental Quantile Estimation for Massive Tracking," In *Proceedings of the 6th International Conference in Knowledge Discovery and Data Mining,* August 2000 |
| | C3 | C. Estan, G. Varghese, and M. Fisk, "Counting the number of active flows on a high speed link," *ACM Computer Communication Review,* vol. 32, no. 3, July 2002 |
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| | C5 | A.C. Gilbert, Y. Kotidis, S. Muthukrishnan, and M.J. Strauss, "How to Summarize the Universe: Dynamic Maintenance of Quantiles," In *Proceedings of the 28th VLDB Conference,* August 2002 |
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| | C7 | J. Jung, B. Krishnamurthy, and M. Rabinovich, "Flash Crowds and Denial of Service Attacks: Characterization and Implications for CDNs and Web Sites," In *Proceedings of the International World Wide Web Conference,* May 2002 |
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| Examiner | Date Considered |
|---|---|
| | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.